The Inspector General Assistance Function

“We’re here to help.”

Part I

Assistance Part 1

Your Assistance Instructor

- **Room 2103**
- **(703) 805-3906**
- **DSN 655-3906**

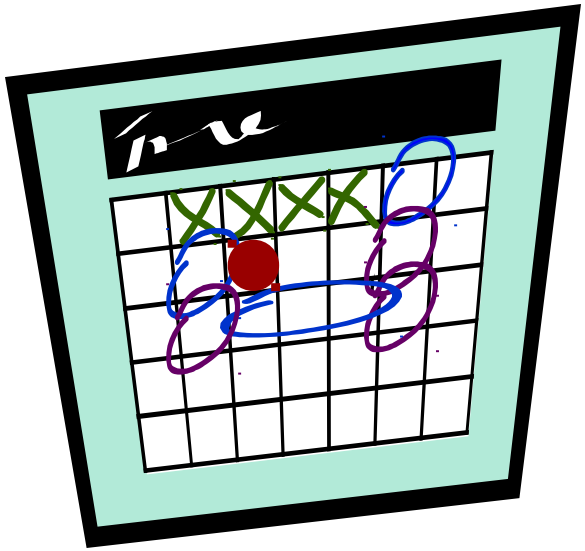
Administrative Notes

Assistance Part 1

- **Please be on time**
- **Please use table mikes**
- **Please avoid sidebar conversations**
- **Please do not surf the Web during the class**
- **Student Course Evaluation**
  - **I want to hear from you, but please be specific**

Assistance Schedule

Assistance Part 1



- **The Seven-Step Inspector General Action Process (IGAP)**
- **Apply the IGAP in Practical Exercises**
- **Receive a walk-in IGAR**
- **Extended Practical Exercise --IGARS 4.+ (Hands on)**
- **IG Issues (Day 10)**
- **Guest Speakers**
  - **DAIG Assistance Division Chief (Big Three Panel)**
  - **MEDCOM IG**
  - **Non-Support**
  - **DFAS IG**
  - **Personnel Screening**

- **Homework**
  - **Due by 0800 on Day 7**
- **Quiz**
  - **20-Question Quiz on Day 7**

References

- ***Advance Sheets*, pages 11-12**
- ***The Assistance and Investigations Guide, Part I***
- **AR 20-1, *Inspector General Activities and Procedures***
- **AR 600-20, *Army Command Policy***
- **AR 608-99, *Family Support, Child Custody, and Paternity***

Enabling Learning Objectives (ELOs)

Advance Sheets, pages 11-12

Assistance Part 1

ELOs

1. **Identify who may submit an IG complaint.**
2. **Describe the purpose and uses of the DA Form 1559 (IGAR).**
3. **Describe the seven-step Inspector General Action Process (IGAP) used to receive, process, and resolve Inspector General Action Requests (IGARs).**

ELOs

4. **Describe the IG concept of confidentiality and what steps an IG should take if the IG must release a complainant's name during the course of an Inquiry or Investigation.**

5. **Identify issues and allegations that are not appropriate for the IG, and describe how the IG must process those IGARs.**

6. **Describe the commander's role in receiving and resolving non-support cases in accordance with AR 608-99.**

ELOs

7. **Describe the IG's role in receiving and resolving non-support cases in accordance with AR 20-1.**

8. **Describe the actions an IG should take when a complainant withdraws a complaint.**

9. **Describe what constitutes an untimely IGAR and the procedures for processing an untimely IGAR.**

ELOs

10. **Identify who is authorized to release IG records for official use within Department of the Army channels and what records a local IG may release.**

11. **Identify who is authorized to release IG records for adverse action.**

12. **Identify who is authorized to release IG records outside of Army channels for non-official use and how to process a Freedom of Information Act (FOIA) request.**

ELOs

Assistance Part 1

13. Demonstrate the process of receiving an IGAR by conducting an interview, completing a DA Form 1559 (IGAR), asking the fundamental interview questions, advising the complainant of the Privacy Act, and protecting confidentiality.

14. Demonstrate the process of opening and closing an Assistance Case in the IGARS database.

Categories of IGs

AR 20-1, para. 2-2

A&I Guide, Section 1-3

Inspectors General Categories and Duties

Assistance Part 1

Category	Inspec-tion	Assis-tance	Inv. Inquiry	Investi-gation
Detailed	Lead	Lead	Lead	Lead
Assistant	Assist	Lead	Assist	Assist
Temporary Assistant	Assist	Assist	Assist	Assist
Acting	No	Yes	No	No
Admin Office Spt.	No*	No*	No*	No*

* Unless approved & graduate of TIGS

AR 20-1, para. 2-2

A&I Guide, Sect.

Other IG Categories

Assistance Part 1

Unwilling or Unable

- **Don’t do their jobs correctly (Slept through IG course)**
- **Take sides during an inquiry**
- **Fail to assist complainants**
- **Do not take care of the commander, the Soldiers, the chain of command, or the Army**

Decertified

- **Pretended to be commanders / 1SGs / CSMs**
- **Released IG records without authority**

A Recent IG Class

Assistance Part 1

IG Class 02-XX

Assistance Part 1

U.S. Army Inspector

Assistance

AR 20-1, Chapters 4 and 7, plus

A&I Guide, Part 1, Chapters 1

Why do Assistance?

- **Correct injustices (real or perceived)**
- **Provide the Soldier with an alternative to the chain of command when the chain of command is unable to solve the problem**
- **Enhance combat readiness and warfighting capability by maintaining the Soldier's morale**

The Assistance Function

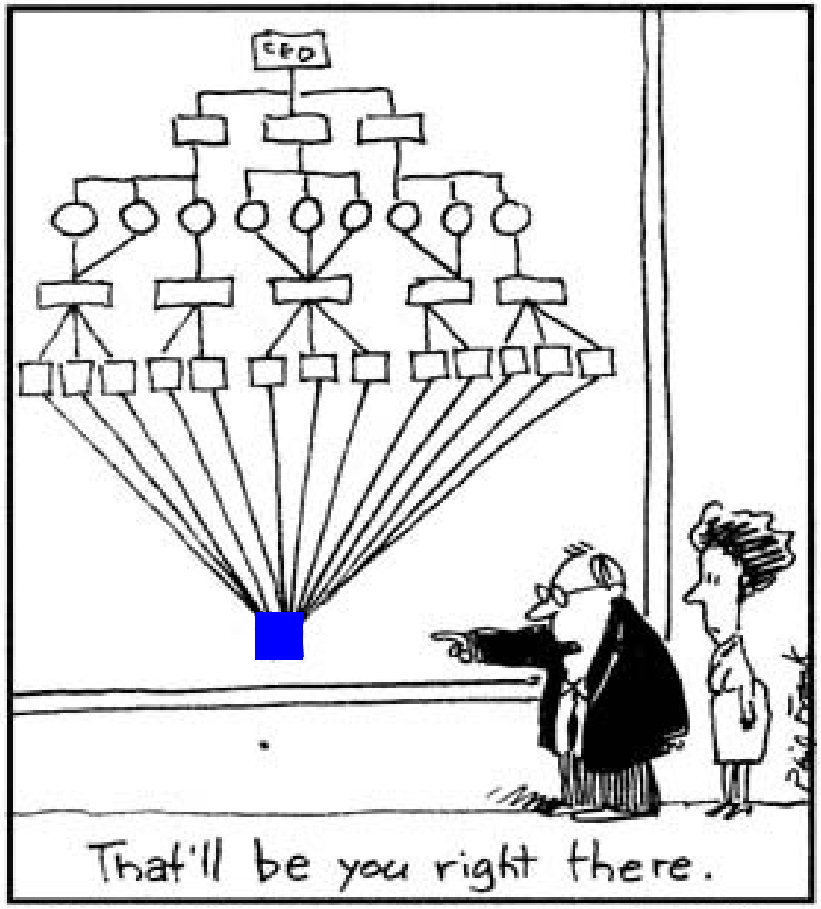
Assistance Part 1

- **Render assistance**
- **Help Commanders correct injustices**
- **Eliminate conditions detrimental to the efficiency or reputation of the Army**
- **Record and analyze data for corrective action**
- **Report on the status of the Army**

The Assistance Function

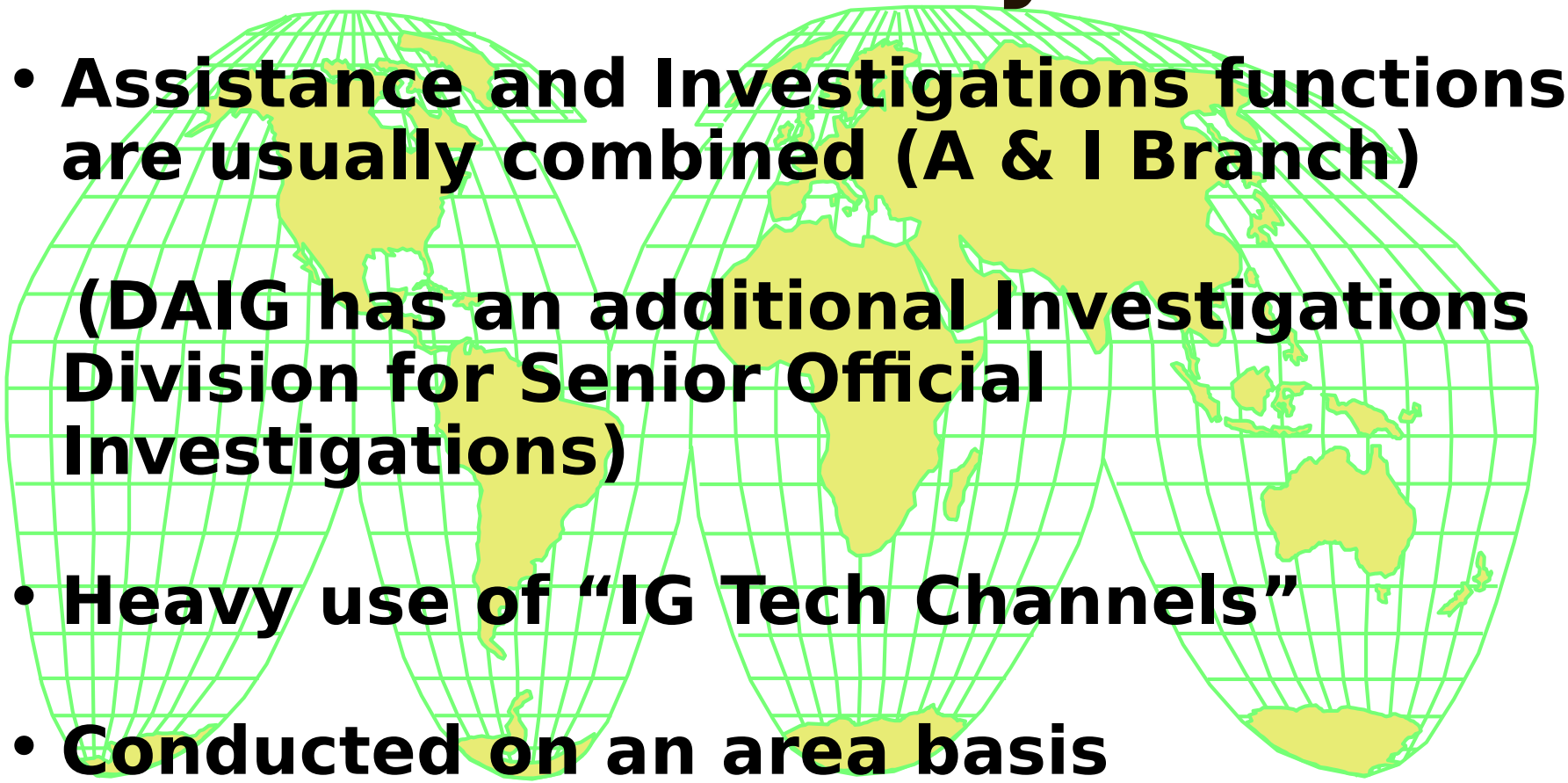
Assistance Part 1

- **Major contributor to the IG workload**
- **Complements Inspections and Investigations**
- **Teaching and training**



The Assistance Function Across the Army

Assistance Part 1



- **Assistance and Investigations functions are usually combined (A & I Branch)**

  (DAIG has an additional Investigations Division for Senior Official Investigations)

- **Heavy use of "IG Tech Channels"**

- **Conducted on an area basis**

AR 20-1, para. 7-1

A&I Guide, Sect.

Inspector General Action Request

Assistance Part 1

Inspector General Action Request

The process of receiving, inquiring into, and responding to …

- **Complaints**
- **Request for information**
- **Request for help**

… presented or referred to an IG.

IGAR

Who can Submit an IGAR?

Assistance Part 1

- **Soldiers (Active, USAR, & ARNG)**
- **Anonymous**
- **Department of Army Civilians**
- **Family Members**
- **Retirees / Veterans**
- **Commanders**
- **Other Services**
- **Government Agencies**
- **Civilian-Civilians**
- **Media**
- **Contractors**
- **Third Parties**
- **Foreign Nationals**
- **Referrals from:**
  - **Other IGs**
  - **Congress**
  - **White House**

AR 20-1, para. 4-2

A&I Guide, Sect.

Who can Submit an IGAR?

Assistance Part 1

ELO

- **Soldiers (Active, USAR, & ARNG)**
- **Anonymous**
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- **Commanders**
- **Other Services**
- **Government Agencies**
- **Civilian Civilians**
- **Media**
- **Contractors**
- **Third Parties**
- **Foreign Nationals**
- **Referrals from:**
  - **Other IGs**
  - **Congress**
  - **White House**

Anyone

No precondition for coming to the IG

AR 20-1, para. 4-2

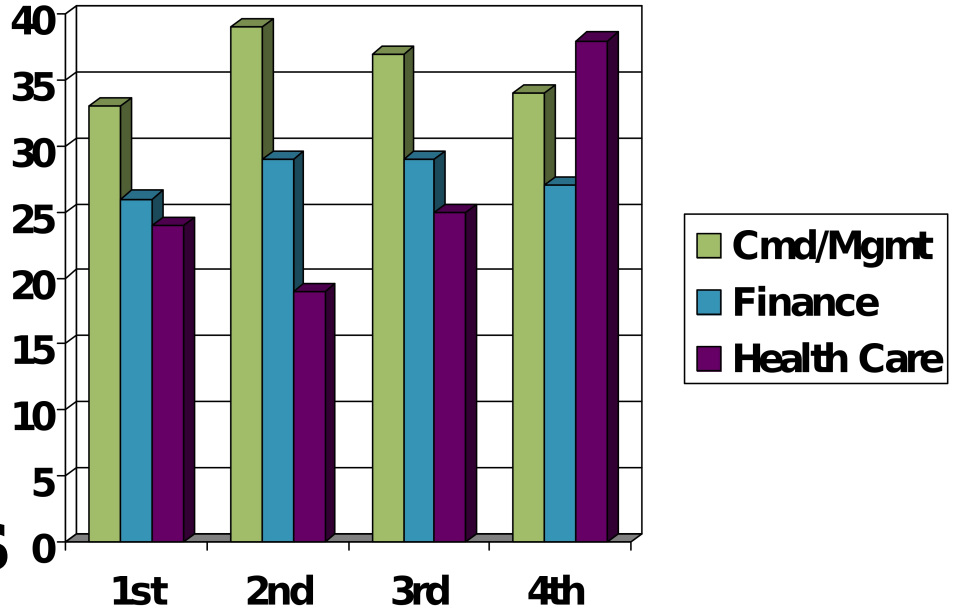
A&I Guide, Sect.

DA Form 1559 (IGAR)

ELO

Assistance Part 1

- **Base-control document**
- **Document workload**
- **Identify trends**
- **Identify systemic issues**



AR 20-1, para. 4-2

A&I Guide, Sect.

Assistance Part 1

DA Form 1559

Inspector General Action Request

INSPECTOR GENERAL ACTION REQUEST

For use of this form, see AR 20-1; the proponent agency is the Office of The Inspector General and Auditor General.

DATA REQUIRED BY THE PRIVACY ACT OF 1974

AUTHORITY: Title 10, USC, Section 3039.

PRINCIPAL PURPOSE: To secure sufficient information to make inquiry into the matters presented and to provide a response to the requestor(s) and/or take action to correct deficiencies.

ROUTINE USES: Information is used for official purposes within the Department of Defense; to answer complaints or respond to requests for assistance, advice or information; by Members of Congress and other Government agencies when determined by The Inspector General and Auditor General to be in the best interest of the Army; and in certain cases in trial by court martial other military matters as authorized by the Uniform Code of Military Justice.

DISCLOSURE OF THE SOCIAL SECURITY NUMBER AND OTHER PERSONAL INFORMATION IS VOLUNTARY. HOWEV
FAILURE TO PROVIDE COMPLETE INFORMATION MAY HINDER PROPER IDENTIFICATION OF THE REQUESTOR, ACCOMPLISHMENT OF THE REQUESTED ACTION(S) AND RESPONSE TO THE REQUESTOR.

LAST NAME - FIRST NAME - MIDDLE INITIAL	GRADE	SSN	DUTY TELEPHONE

COMPLETE PRESENT MILITARY ADDRESS *(Duty address, state current civilian address, including Zip Code.)*

SPECIFIC ACTION REQUESTED

INFORMATION PERTAINING TO THIS REQUEST *(Use additional sheets if necessary; list inclosures if applicable.)*

This information is submitted for the basic purpose of requesting assistance, correcting injustices affecting individual, or eliminating conditions considered detrimental to the efficiency or reputation of the Army. I fully understand that I may be held accountable for any statements which are proved to be knowingly untruthful.

DATE *(YYYYMMDD)*	SIGNATURE

DA FORM 1559, APR 2001 REPLACES EDITION OF OCT 89, WHICH IS OBSOLETE. USAPA V1.00

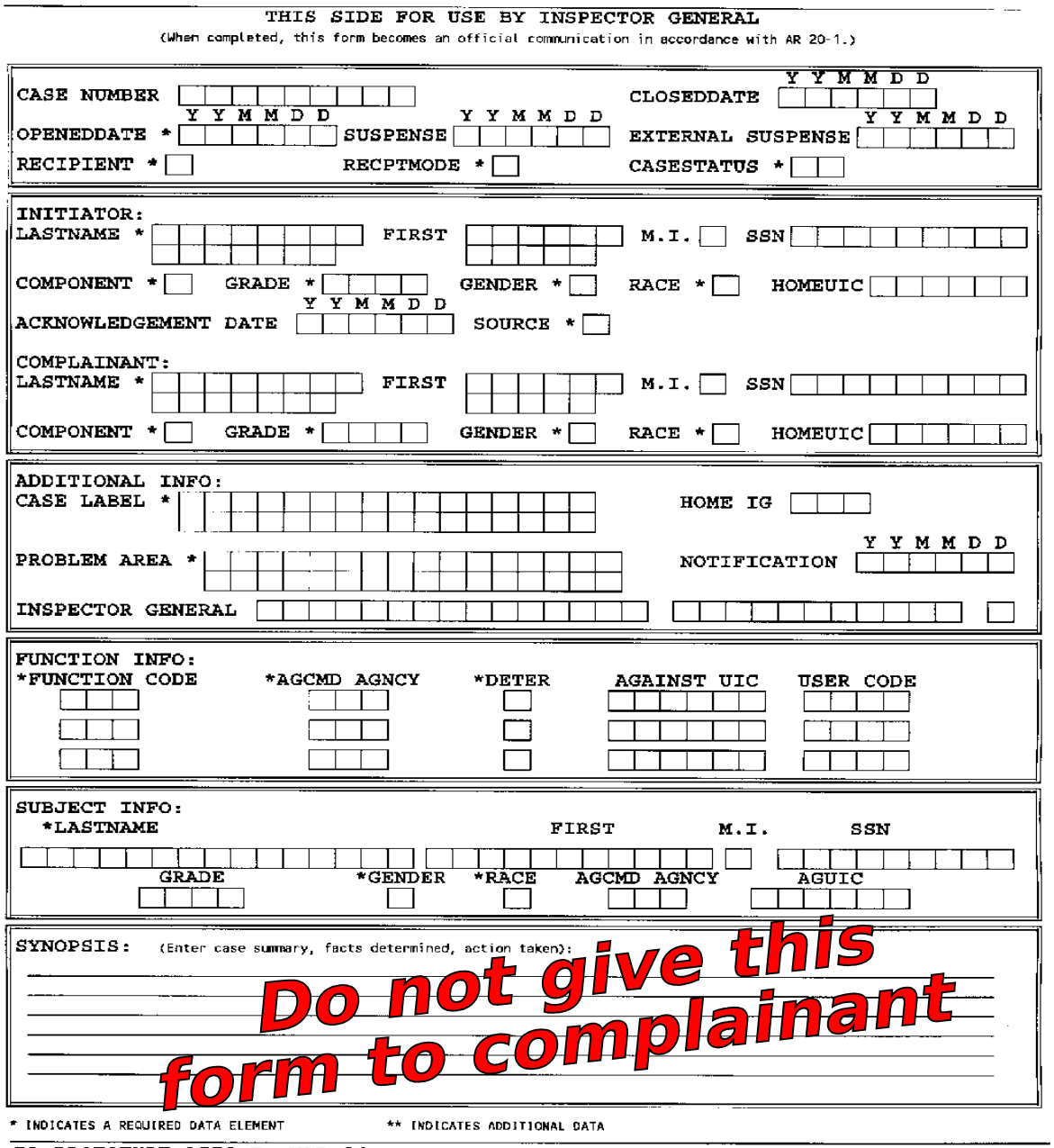
Be sure to get a good phone #

What do you want the IG to do for you?

A&I Guide, Sect. 1-6-1

Assistance Part 1

Here's the IGARS Database 1559 Form



THIS SIDE FOR USE BY INSPECTOR GENERAL

(When completed, this form becomes an official communication in accordance with AR 20-1.)

CASE NUMBER

OPENEDDATE * (Y Y M M D D) SUSPENSE (Y Y M M D D) CLOSEDDATE (Y Y M M D D) EXTERNAL SUSPENSE (Y Y M M D D)

RECIPIENT * RECPTMODE * CASESTATUS *

INITIATOR:

LASTNAME * FIRST M.I. SSN

COMPONENT * GRADE * GENDER * RACE * HOMEUIC

ACKNOWLEDGEMENT DATE (Y Y M M D D) SOURCE *

COMPLAINANT:

LASTNAME * FIRST M.I. SSN

COMPONENT * GRADE * GENDER * RACE * HOMEUIC

ADDITIONAL INFO:

CASE LABEL * HOME IG

PROBLEM AREA * NOTIFICATION (Y Y M M D D)

INSPECTOR GENERAL

FUNCTION INFO:

*FUNCTION CODE *AGCMD AGNCY *DETER AGAINST UIC USER CODE

SUBJECT INFO:

*LASTNAME FIRST M.I. SSN

GRADE *GENDER *RACE AGCMD AGNCY AGUIC

SYNOPSIS: (Enter case summary, facts determined, action taken):

Do not give this form to complainant

* INDICATES A REQUIRED DATA ELEMENT ** INDICATES ADDITIONAL DATA

DA PROTOTYPE 1559-E, MAR 94

A&I Guide, Sect. 1-6-2

Summary

- ✓ **Define "Detailed IG" and explain what functions a Detailed IG can lead.**
- ✓ **Define "Assistant IG" and explain what functions an Assistant IG can lead.**
- ✓ **Define "Temporary Assistant IG" and explain the functions of a Temporary Assistant IG.**

Summary

(continued)

- ✓ **Define "Acting IG" and explain the functions of an Acting IG.**
- ✓ **Define Assistance.**
- ✓ **Who may submit an IG complaint?**
- ✓ **What is the purpose and use of DA Form 1559?**

Assistance Part 1

Assistance

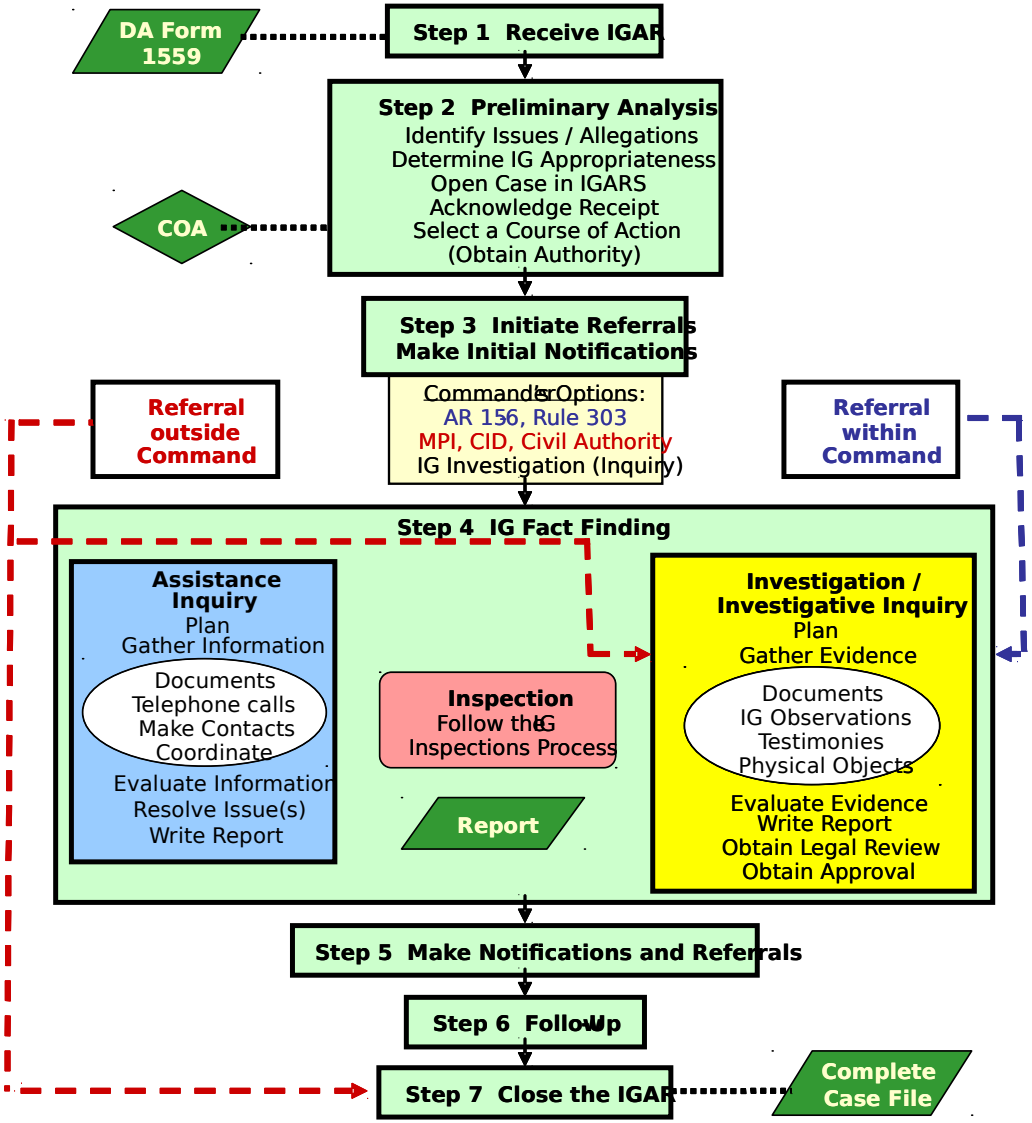
“The day Soldiers stop bringing you their problems is the day you have stopped leading them. They have either lost confidence that you can help them or concluded that you do not care. Either case is a failure of leadership.”

General Colin Powell

Inspector General Action Process (IGAP)

Assistance Part 1

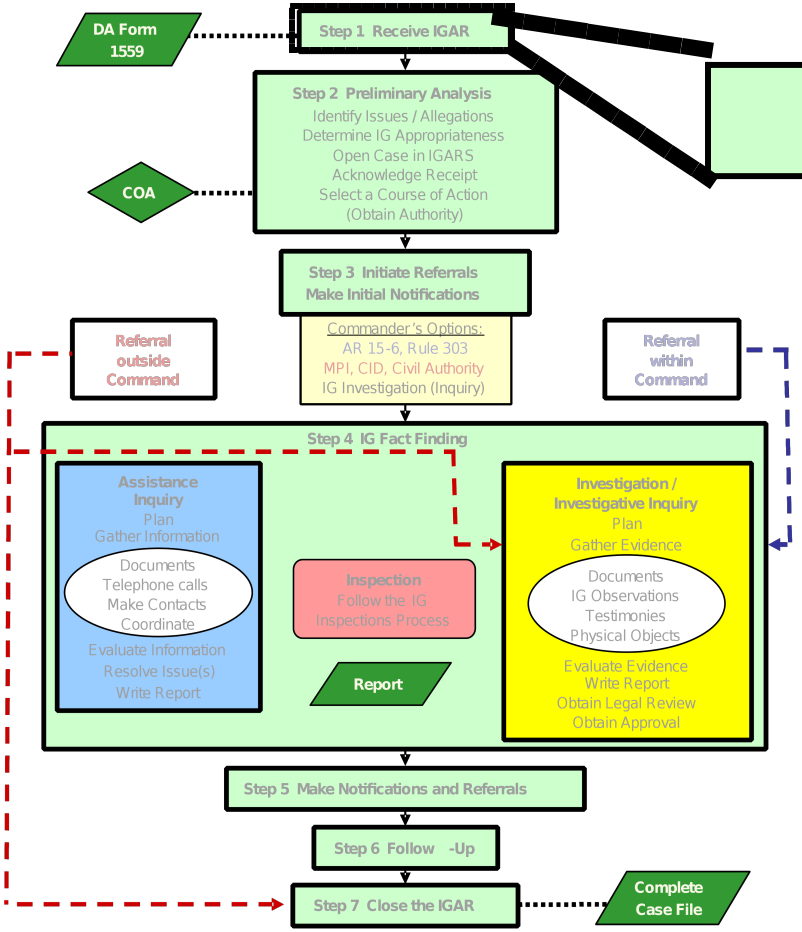
ELO



The Seven-Step IGAP
Step One

ELO

Assistance Part 1



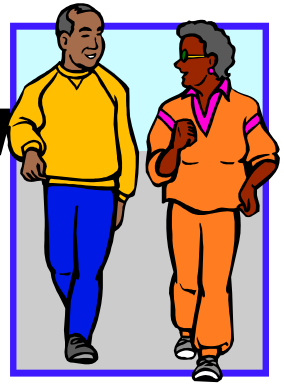
Step 1 Receive IGAR

AR 20-1, para. 4-2, 7-2b (1)

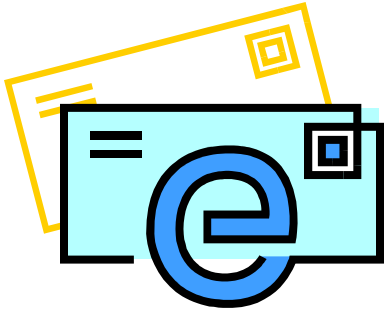
A&I Guide, Sect. 2-2

STEP 1: Receive the IGAR

Assistance Part 1



- **IGARs come from the <u>in</u> crow**
  - **Walk-in**
  - **Call-in**
  - **Write-in**
  - **E-mail-in**
  - **In the Gym / PX**



AR 20-1, para. 4-2, 7-2b (1)

A&I Guide, Sect. 2-2

STEP 1: Receive the IGAR Walk-Ins

Assistance Part 1

- **Private area**
- **Put complainant at ease**
- **Actively listen**
- **Maintain control**
- **Establish rapport but don't buy in or be an advocate**
- **Remember: Each story has at least three sides**
  - **Complainant**
  - **Other guy**
  - **Truth**

AR 20-1, para. 4-2e, 7-2b (1)

A&I Guide, Sept. 2-2-1

STEP 1: Receive the IGAR Walk-Ins (continued) ELO

Assistance Part 1

Fundamental interview questions to ask:

1. **What do you want the IG to do for you?**
2. **Do you have any supporting documentation?**
3. **Have you requested assistance from any other source or agency?**
4. **Have you given your chain of command an opportunity to address the problem?**
5. **What is your status?**

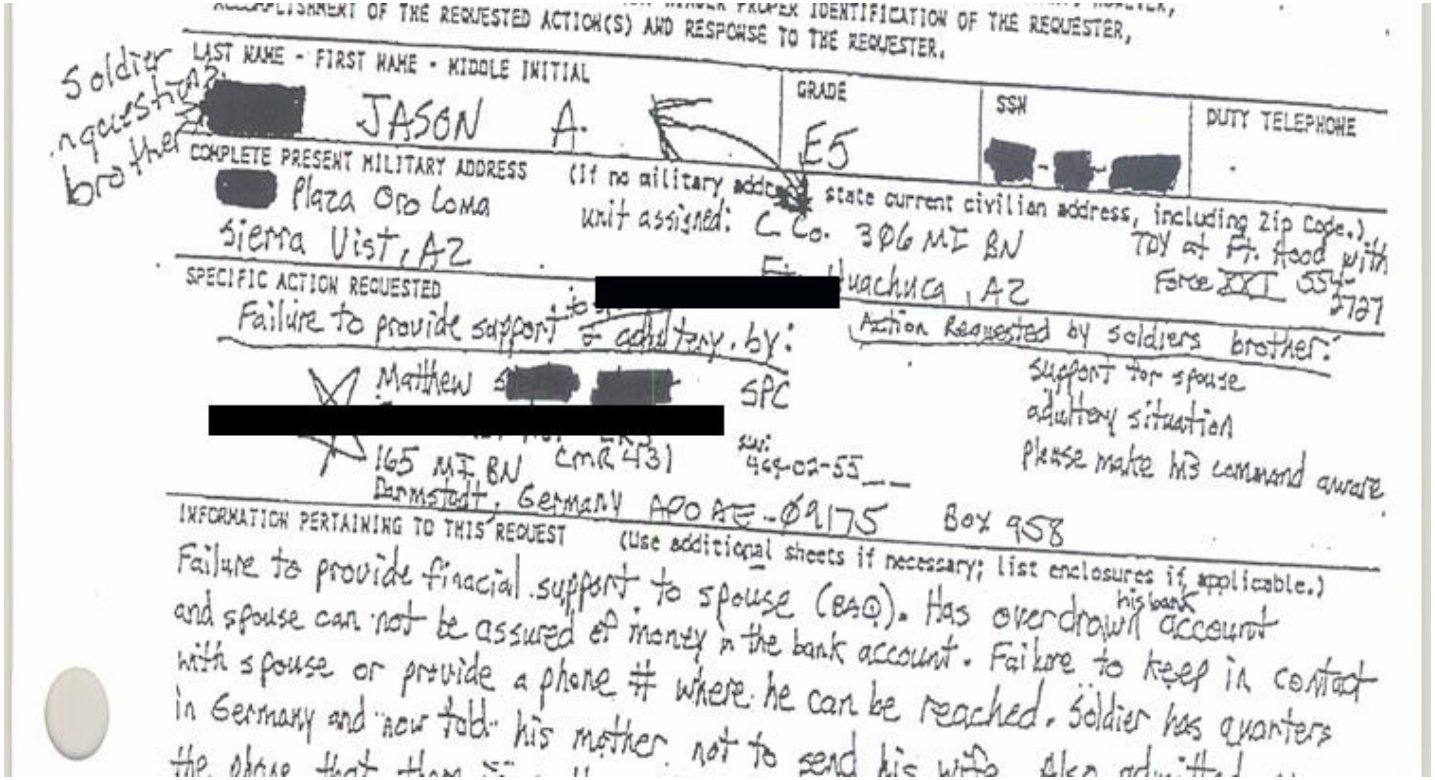
STEP 1: Receive the IGAR Walk-Ins (continued)

Assistance Part 1

- **Complete the DA Form 1559**
- **Advise of Privacy Act**
  - **Disclosure of SSN is voluntary unless needed to resolve issue**
- **IGs can assist in drafting**
- **Read back and clarify to ensure issues are understo**
- **Have complainant sign**

Assistance Part 1

Poorly Written 1559s



ACCOMPLISHMENT OF THE REQUESTED ACTION(S) AND RESPONSE TO THE REQUESTER.

Soldier requesting brother

LAST NAME - FIRST NAME - MIDDLE INITIAL: [redacted] JASON A.

GRADE: E5

SSN: [redacted]

DUTY TELEPHONE:

COMPLETE PRESENT MILITARY ADDRESS (If no military address, state current civilian address, including Zip Code.)

[redacted] Plaza Oro Loma
Sierra Vist, AZ

unit assigned: C Co. 306 MI BN
Fort Huachuca, AZ

TDY at Ft. Hood with Force XXI 554 #727

SPECIFIC ACTION REQUESTED

Failure to provide support to [redacted] adultery. by:

Matthew [redacted] SPC

[redacted]

165 MI BN CMR 423

Darmstadt, Germany APO AE-09175 Box 958

Action Requested by soldiers brother:
support for spouse
adultery situation
Please make his command aware

INFORMATION PERTAINING TO THIS REQUEST (Use additional sheets if necessary; list enclosures if applicable.)

Failure to provide finacial support to spouse (BAQ). Has overdrawn his bank account and spouse can not be assured of money in the bank account. Failure to keep in contact with spouse or provide a phone # where he can be reached. Soldier has quarters in Germany and now told his mother not to send his wife [illegible]

- **Who is the complainant?**
- **What's his or her status?**
- **What's his or her duty phone number?**
- **What does he or she want the IG to do?**

STEP 1: Receive the IGAR Walk-Ins (continued)

Assistance Part 1

- **End the interview without commitment except to say that:**
  - **We will look into the matter**
  - **We will provide a response (if not 3rd party)**
- **Complainant may have a copy of the DA Form 1559**

STEP 1: Receive the IGAR Confidentiality

ELO

Assistance Part 1

- **Ethically comparable to the doctor-patient relationship**
- **Protects individual privacy and maintains confidence in the IG System**
- **Need not be specifically requested**

AR 20-1, para. 1-12
A&I Guide, Sect. 2-2-1c

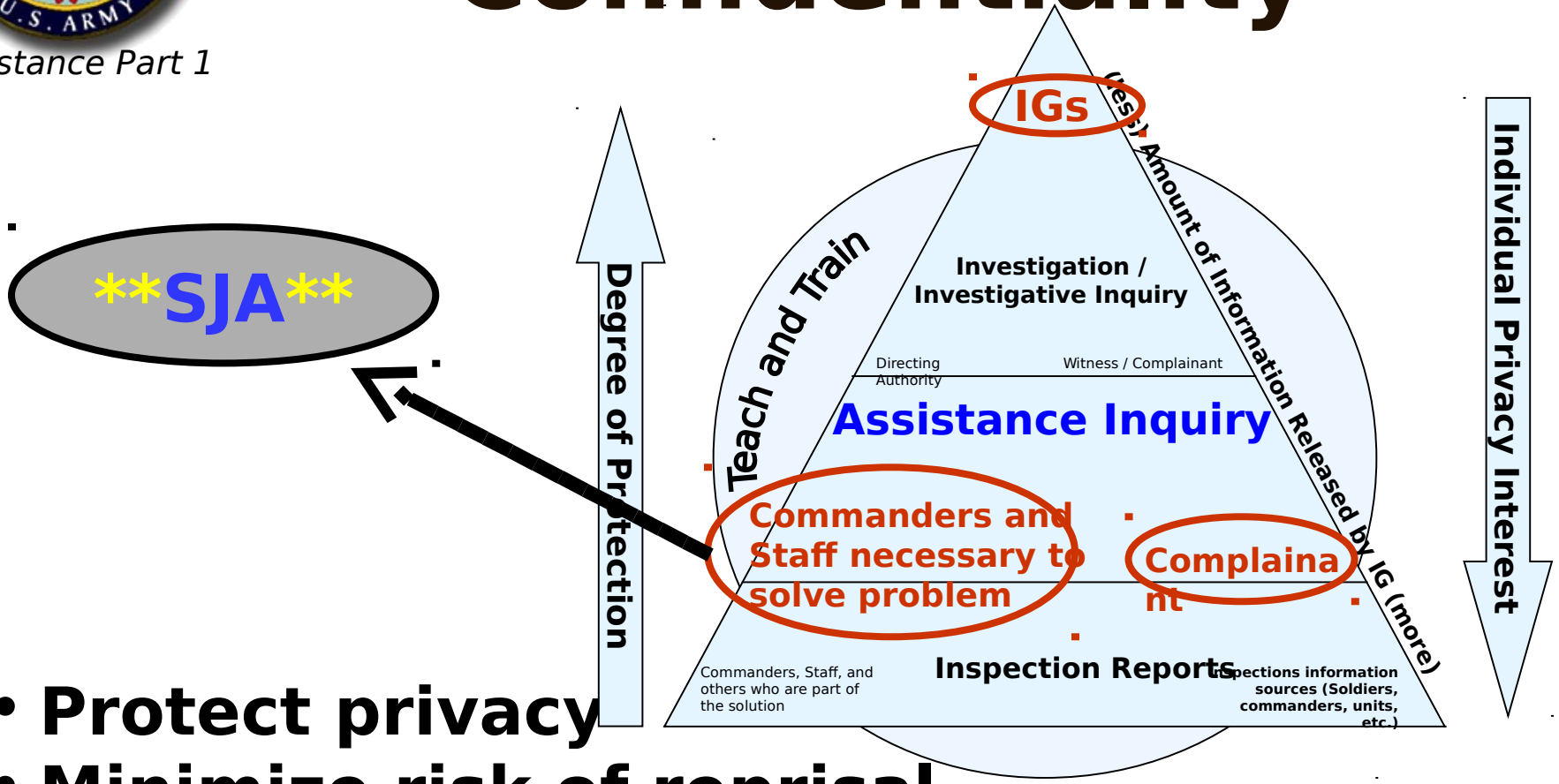
Confidentiality is Not Guaranteed

Assistance Part 1

- **Nature of the issue**
- **Official use within the Army**
- **By direction of TIG**
- **Legal proceedings (call DAIG Legal)**

- **If unavoidable, try to contact complainant before disclosure and attempt to obtain a release statement (example: DA Form 7433)**

Triangle of Confidentiality



- **Protect privacy**
- **Minimize risk of reprisal**
- **Maintain confidence in the IG system**
- ****SJA vs. JAG**

AR 20-1, para. 1-12

STEP 1: Receive the IGAR
Call-Ins

Assistance Part 1

- **Ask for written follow-up if necessary**
  - **Supporting documents**
- **Read Privacy Act**
- **Read back the DA Form 1559**
- **Write "<u>Telephonic</u>" in signature block of the DA Form 1559**

AR 20-1, para. 4-2f

A&I Guide, Sect. 2-3.2

STEP 1: Receive the IGAR Write-Ins

Assistance Part 1

No need to transfer information to DA Form 1559

AR 20-1, para. 4-2g
A&I Guide, Sect. 2-

INSPECTOR GENERAL ACTION REQUEST

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DATA REQUIRED BY THE PRIVACY ACT OF 1974

AUTHORITY: Title 10, USC, Section 3039.

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LAST NAME - FIRST NAME - MIDDLE INITIAL	GRADE	SSN	DUTY TELEPHONE

COMPLETE PRESENT MILITARY ADDRESS *(If military address, state current civilian address, including Zip Code.)*

SPECIFIC ACTION REQUESTED

See attached letter

INFORMATION PERTAINING TO THIS REQUEST *(Use additional sheets if necessary; list inclosures if applicable.)*

This information is submitted for the basic purpose of requesting assistance, correcting injustices affecting individual, or elimi
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DATE *(YYYYMMDD)*	SIGNATURE

DA FORM 1559, APR 2001 REPLACES EDITION OF OCT 89, WHICH IS OBSOLETE. USAPA V1.00

Assistance Part 1

STEP 1: Receive the IGAR
E-mail

- **Respond in a new message**
- **Request an address and phone number**
- **Use a generic subject line**
  - **"Your E-mail"**
  - **NOT "Your IG Complaint"**
- **E-mail is not "protected" -- unless IGNET**

AR 20-1, para. 4-2g
A&I Guide, Sect. 2-2

STEP 1: Receive the IGAR Anonymous

Assistance Part 1

- **Process like any other IGAR**
- **Don't try to figure out who it i**
- **If insufficient information, close the case**
- **Substantiation rate for anonymous allegations is slightly higher than signed IGARs**

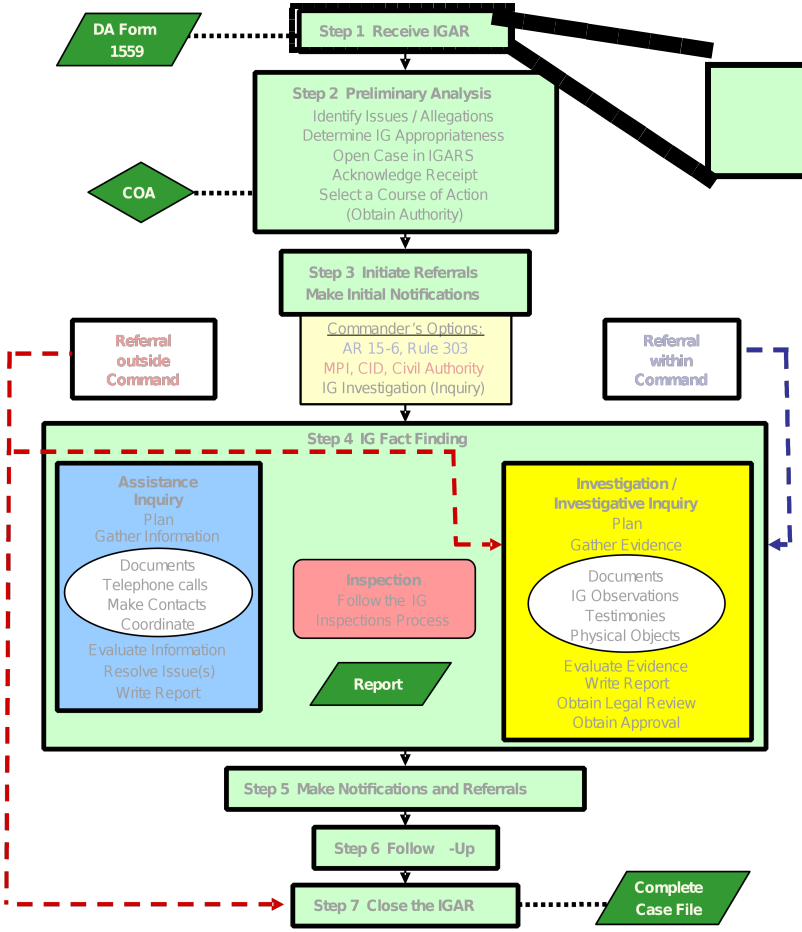
AR 20-1, para. 4-2h

A&I Guide, Sect.

The Seven-Step IGAP
Step One

ELO

Assistance Part 1



Step 1 Receive IGAR

AR 20-1, para. 4-2, 7-2b (1)

A&I Guide, Sect. 2-2

Assistance Part 1

Practical Exercise - Stough
STEP 1: Receive the IGAR

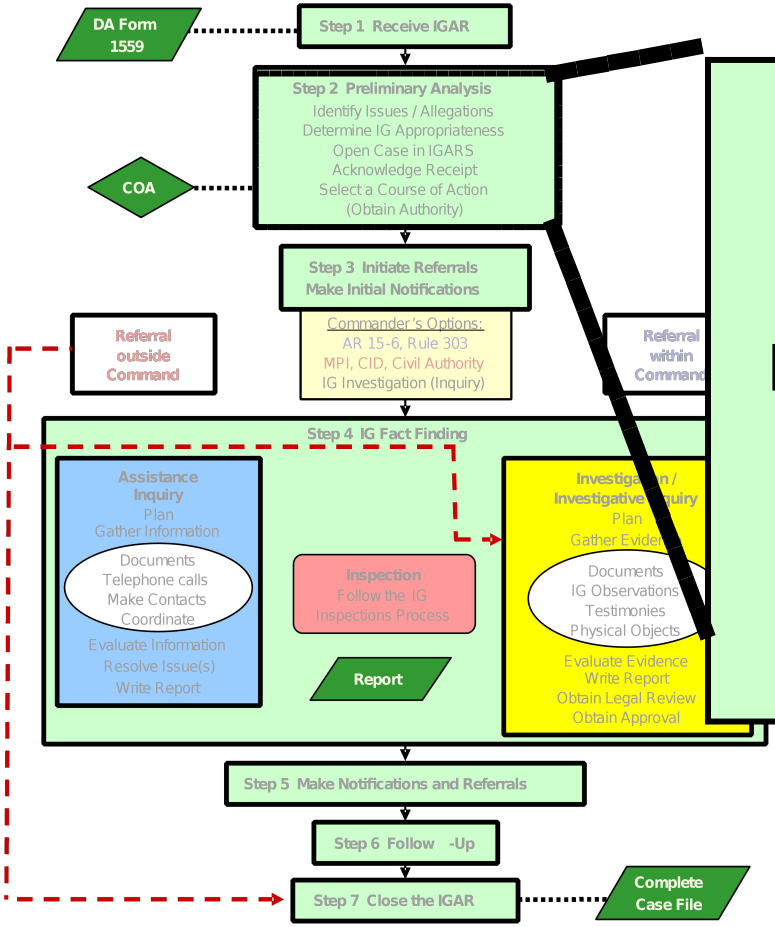
Conduct the interview

Complete DA Form 1559

The Seven-Step IGAP
Step Two

ELO

Assistance Part 1



Step 2 Preliminary Analysis

Identify Issues / Allegations
Determine IG Appropriateness
Open Case in IGARS
Acknowledge Receipt
Select a Course of Action
(Obtain Authority)

AR 20-1, para. 4-3 – 4-6, 7-2b (2)
A&I Guide, Sect. 2-3

STEP 2: Conduct IG Preliminary Analysis (IGPA)

Assistance Part 1

- **A thought process to determine how best to proceed. May take <u>minutes</u> / <u>hours</u> / <u>days</u>**
- **Sub-Steps of Preliminary Analysis**
  - **Identify issues / allegations**
  - **Determine IG appropriateness**
  - **Open the case in IGARS**
  - **Acknowledge receipt**
  - **Select COA**

AR 20-1, para. 4-3 – 4-6, 7-2b (2)
A&I Guide, Sect. 2-3

STEP 2: Conduct IGPA:

Identify Issues / Allegations

Assistance Part 1

- **IGs should always look for:**
  - **Larger issues**
  - **Implied allegations**
  - **Systemic problems**
  - **Condoning of wrongdoing**

AR 20-1, para. 4-4
A&I Guide, Sect. 2-3

STEP 2: Conduct IGPA

Assistance Part 1

Identify Issues / Allegations

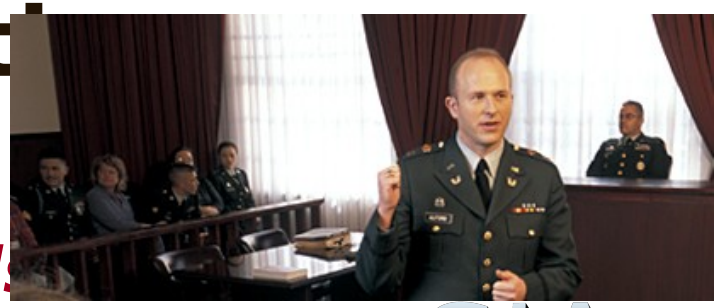
- ***Issue:*** **a request for information or assistance that does not have a "who" as the violator of standards or policy**
  - ***FOUNDED*** **or** ***UNFOUNDED***
  - ***Complaint:*** **an expression of dissatisfaction or discontent with a process or system. "Privates should get paid the same BAH as officers."**
- ***Allegation:*** **a complaint that lists "who" improperly did / did not do something in violation of a standard**
  - ***SUBSTANTIATED*** **or** ***NOT SUBSTANTIATED***

AR 20-1, para. 4-4
A&I Guide, Sect. 2-3

STEP 2: Conduct IGPA

Identify Issues / Allegati

Assistance Part 1



- **An Allegation contains:**
  - **Who**
  - **"Improperly"** ***("it depends***
  - **Did what**
  - **"In violation of" an established standard.**
- **The IG formulates the allegation -- not the complainant**
- **An Investigation or Investigative Inquiry is *required* for all allegations!!**
- **If there's no "*who,*" it's an ISSUE!**

AR 20-1, para. 4-4c
A&I Guide, Sect. 2-3-

Assistance Part 1

Properly Worded Allegations?

- **CPT Knight began harassing Soldiers in the September time frame.**
- **SGM Butts improperly drinks too much on duty.**
- **The finance office improperly failed to process my TDY voucher in a timely manner in violation of 66th ID Finance Battalion SOP.**
- **LTC Bailey improperly relieved a commander in violation of AR 600-20.**

STEP 2: Conduct IGPA:

Determine IG Appropriateness

Assistance Part 1

- **If the matter is Army related, you decide:**
  - **What is appropriate for the IG to work**
  - **Or refer to:**
    - **Chain of command**
    - **Other agencies**
    - **Other IGs**

- **Many matters raised to an IG may not be appropriate for the IG to work**

AR 20-1, para. 4-4f

A&I Guide, Sect. 2-3

STEP 2: Conduct IGPA: Determine IG Appropriateness

Assistance Part 1

- **Do not automatically categorize the whole IGAR as not IG appropriate**

Example: "Someone broke the window on my car, and I can't pay for it because I did not yet receive my travel pay from six months ago."

  - **Refer broken window to Military Police Investigations (MPI) for action**
  - **IG will work the travel-pay issue**

- **Remember to look for systemic issues**

STEP 2: Conduct IGPA
Open the Case in IGARS

Assistance Part 1

- **Open case in Inspector General Action Request System (IGARS)**
  - **Database**
  - **Used by IGs world-wide**
- **Unless allegations against**
  - **Senior Officials (A&I Guide, Section 3-6)**
  - **Members of Army Special Access Programs or of Special Activities (A&I Guide, Section 3-7)**

AR 20-1, para. 4-5
A&I Guide, Sect. 2-3

STEP 2: Conduct IGPA
Acknowledge Receipt

Assistance Part 1

- **Verbal or written**

- **If issue is IG appropriate:**
  - **AND complainant has right to know, inform him or her that you will provide a response**

  - **BUT the complainant is not directly affected: Send a third-party response thanking the individual for his or her concern and telling the person that you will look into the matter**

AR 20-1, para. 4-6a
A&I Guide, Sect. 2-3-

Third-Party IGARs

Assistance Part 1

- **Response to third party depends on:**
  - **Right to know**
  - **Individual concerned consents to release of information**

PRIVACY ACT INFORMATION RELEASE FORM

I, _____, SSN___-__-____, authorize access or release of any Inspector General records pertaining to me to (either specific individuals or for general release).

_____	_____
Date	**Signature**
_____	_____
Date	**Witness**

DA Form 7433

STEP 2: Conduct IGPA
Acknowledge Receipt

- **If issue is <u>not</u> IG appropriate:**
  - **Inform the complainant why not appropriate**
  - **Provide information of appropriate office (contact info, certain formats)**

    Example: Army Board for Correction of Military Records (ABCMR) requires submissions on DD Form 149, *Application for Correction of Military Record*
  - **Forward to that agency <u>if possible</u>**

STEP 2: Conduct IGPA
Select a Course of Action

Assistance Part 1

- ✓ **Inspection**
- ❖ **Assistance Inquiry**
- ❖ **Investigative Inquiry**
  or
  Investigation

} **Investigations Block**

- ❖ **Referral to another agency**

AR 20-1, para. 4-6b, 7-2l
A&I Guide, Sect. 2-3-5

STEP 2: Conduct IGPA
Selection of Course of Action

Assistance Part 1

IG INSPECTION:

- **Detailed IG**
- **Focus on systemic issues**
- **Root Cause**
- **Recommendation for corrections ("stuckee")**
- **Directing Authority determines scope and content (Directive)**

ASSISTANCE INQUIRY:

- **Detailed, Assistant, Acting IG**
- **Resolve issues, request for assistance, help, information**
- **Not allegations**
- **An informal fact-finding process**

STEP 2: Conduct IGPA
Selection of Course of Action

Assistance Part 1

INVESTIGATIVE INQUIRY

- **Detailed IG**
- **Allegations, issues, or adverse conditions**
- **<u>Informal</u> fact-finding process**

INVESTIGATION:

- **Detailed IG**
- **Allegations, issues, or adverse conditions**
- **<u>Formal</u> fact-finding process (Directing Authority's directive)**

Investigations Block

STEP 2: Conduct IGPA
Selection of Course of Action

Assistance Part 1

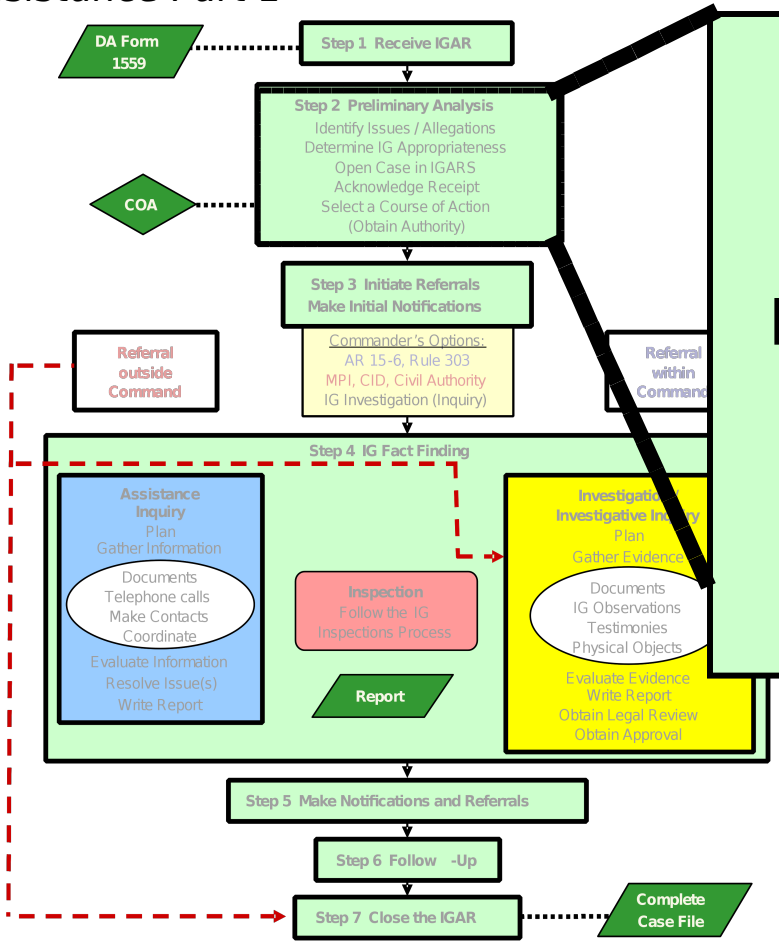
REFERRAL to:

- **Chain of Command (keep case open and monitor)**
- **Different Command (refer in IGARS, close case)**
- **Equal Opportunity, Equal Employment Opportunity**
- **Criminal Investigations Command or Military Police Investigations**
- **Army Board for Correction of Military Records**

The Seven-Step IGAP
Step Two

ELO

Assistance Part 1



Step 2 Preliminary Analysis

Identify Issues / Allegations
Determine IG Appropriateness
Open Case in IGARS
Acknowledge Receipt
Select a Course of Action
(Obtain Authority)

AR 20-1, para. 4-3 – 4-6, 7-2b (2)
A&I Guide, Sect. 2-3

Assistance Part 1

Practical Exercise – Stough

STEP 2: Conduct IG PA

Issues: **Household goods delivery**

Allegations: **None**

IG Appropriate: **Yes**

Open Case in IGARS: **During EPE**

Acknowledge Receipt: **See Letter**

COA: **Assistance Inquiry**

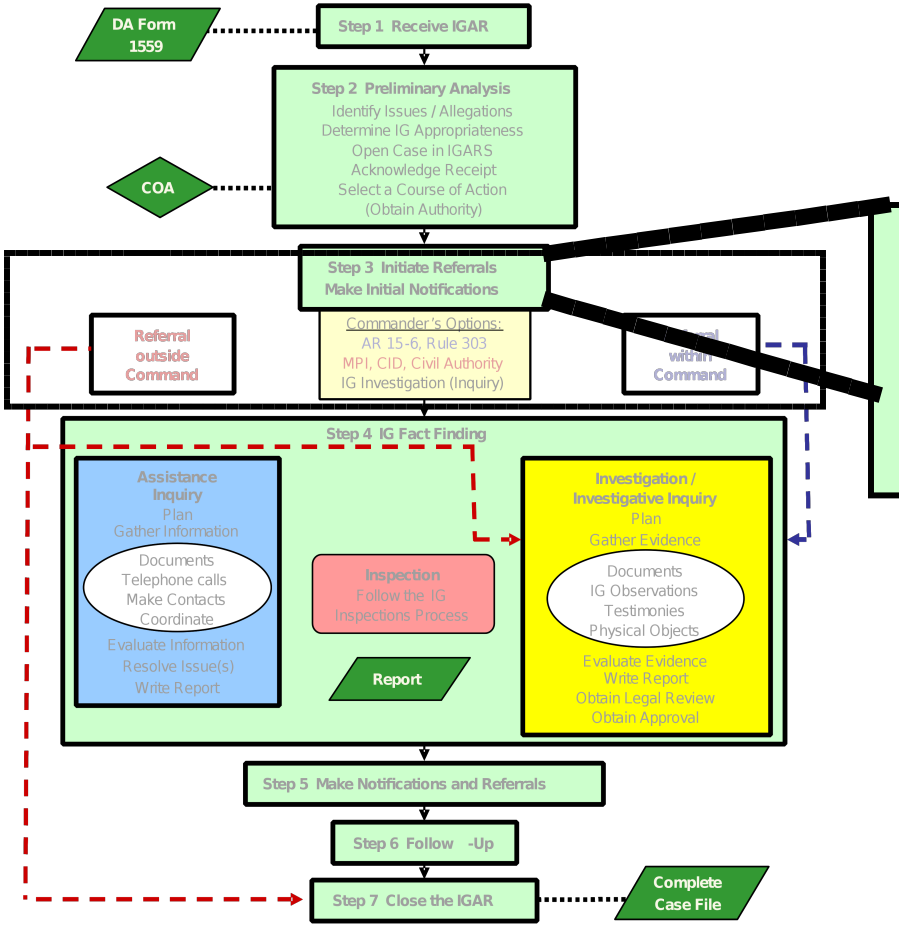
Summary

- ✓ **In what step of the seven-step IGAP process do you receive the IGAR?**
- ✓ **When receiving the IGAR, what are the fundamental interview questions you ask the complainant?**
- ✓ **How do we refer to confidentiality in the IG system?**
- ✓ **Do IGs ever guarantee confidentiality?**
- ✓ **What are the five sub-steps to IGPA?**

The Seven-Step IGAP
Step Three

ELO

Assistance Part 1



Step 3 Initiate Referrals and make Initial Notifications

AR 20-1, para. 4-7, 7-2b (3)

A&I Guide, Sect. 2-4

Assistance Part 1

STEP 3: Initiate Referrals and Make Notifications

- **Matters that are not IG appropriate**
  - **Refer to the proper agency (Veterans Affairs (VA), CID, another IG office, etc.)**
  - **Close the case**
- **Exception: Matters referred to the chain of command**
  - **IG will monitor the case to ensure the chain of command takes proper action**
  - **Then close the case**

AR 20-1, para. 4-7, 7-2b (3)

A&I Guide, Sect. 2-4-1

STEP 3: Initiate Referrals and Make Notifications

Assistance Part 1

- **Notifications are part of the investigative inquiry and investigation process.**

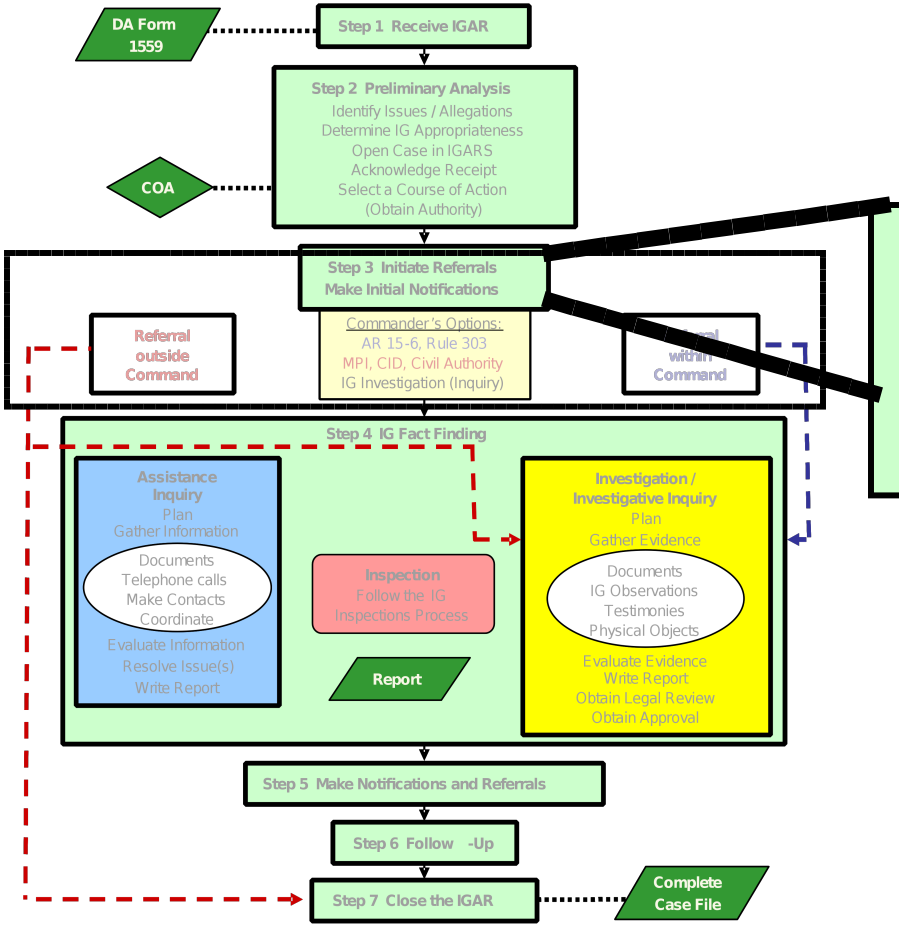
- **Wait for the Inquiries and Investigations block of instruction to hear all about it!**

AR 20-1, para. 4-7
A&I Guide, Sect. 2-4

The Seven-Step IGAP
Step Three

ELO

Assistance Part 1



Step 3 Initiate Referrals and make Initial Notifications

AR 20-1, para. 4-7, 7-2b (3)

A&I Guide, Sect. 2-4

Assistance Part 1

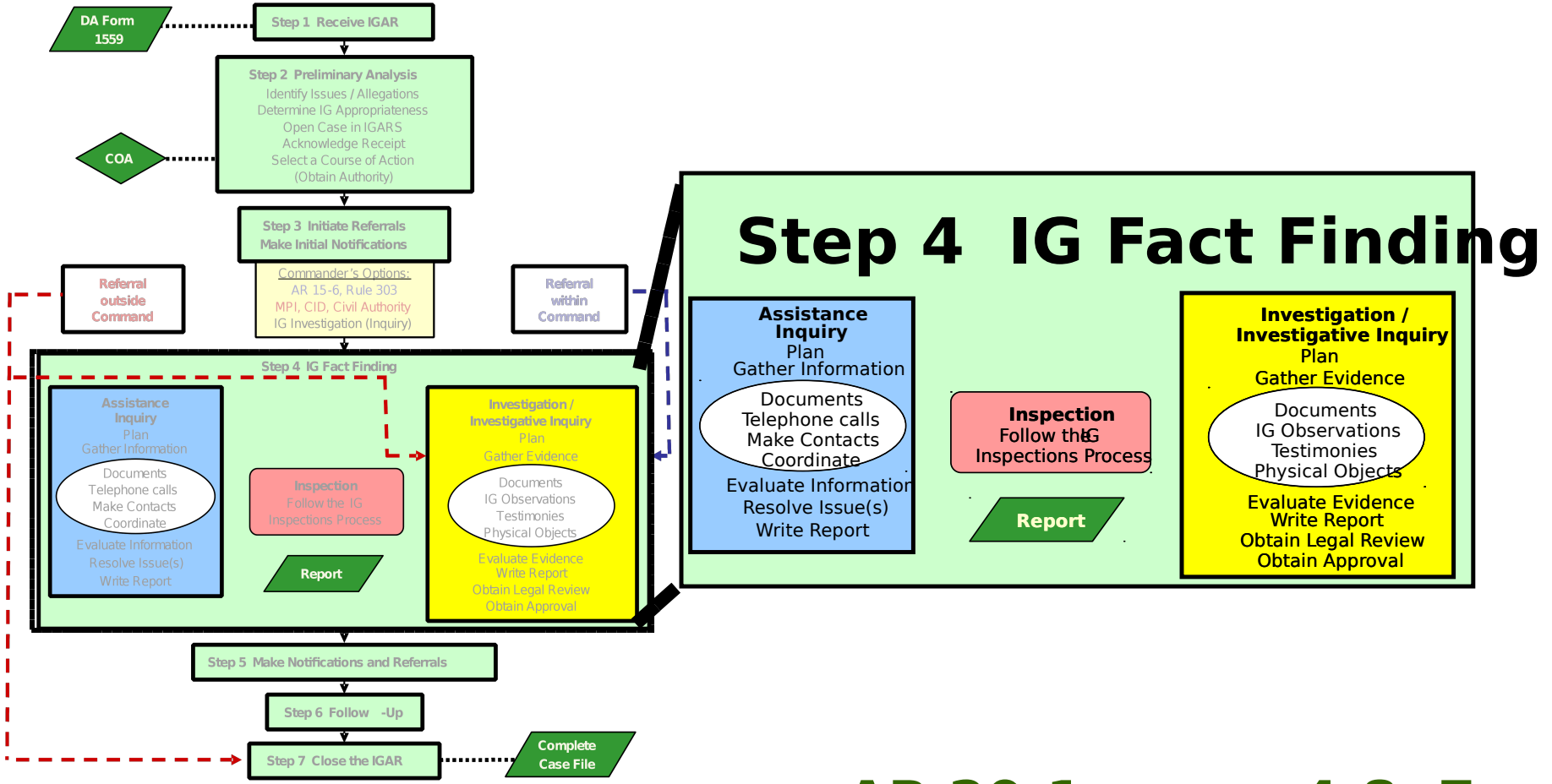
Practical Exercise - Stough
STEP 3: Initiate Referrals and Make Notifications

For this Assistance Inquiry: None

The Seven-Step IGAP
Step Four

ELO

Assistance Part 1



AR 20-1, para. 4-8, 7-2b (4)

A&I Guide, Sect. 2-5

STEP 4 : Conduct IG Fact-Finding

Assistance Part 1

IG Fact-Finding consists of:

- **Inspection *(Requires Directive from the Directing Authority)***
- **Assistance Inquiry (No permission needed)**
- **Investigative Inquiry (Directed by the Command or State IG)**
- **Investigation *(Requires Directive from the Directing Authority)***

AR 20-1, para. 4-8
A&I Guide, Sect. 2-5

STEP 4 : Conduct IG Fact-Finding

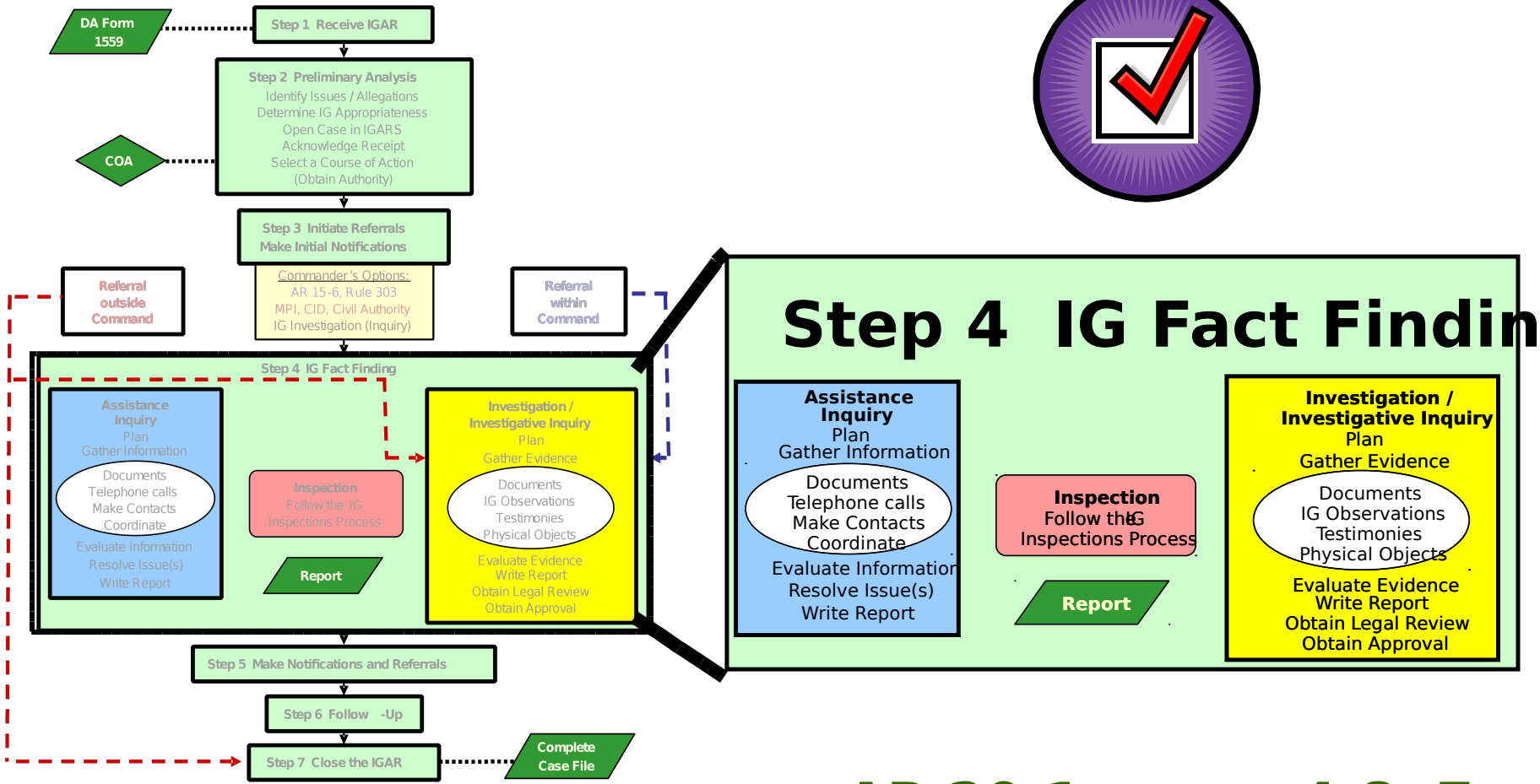
Assistance Inquiry

- Plan
- Gather information
  - Documents
  - Telephone calls
  - Fax
  - Etc.
- Evaluate information
- Resolve issue(s)

The Seven-Step IGAP
Step Four

ELO

Assistance Part 1



AR 20-1, para. 4-8, 7-2b (4)

A&I Guide, Sect. 2-5

Assistance Part 1

Practical Exercise - Stough
STEP 4 : Conduct IG Fact-Finding

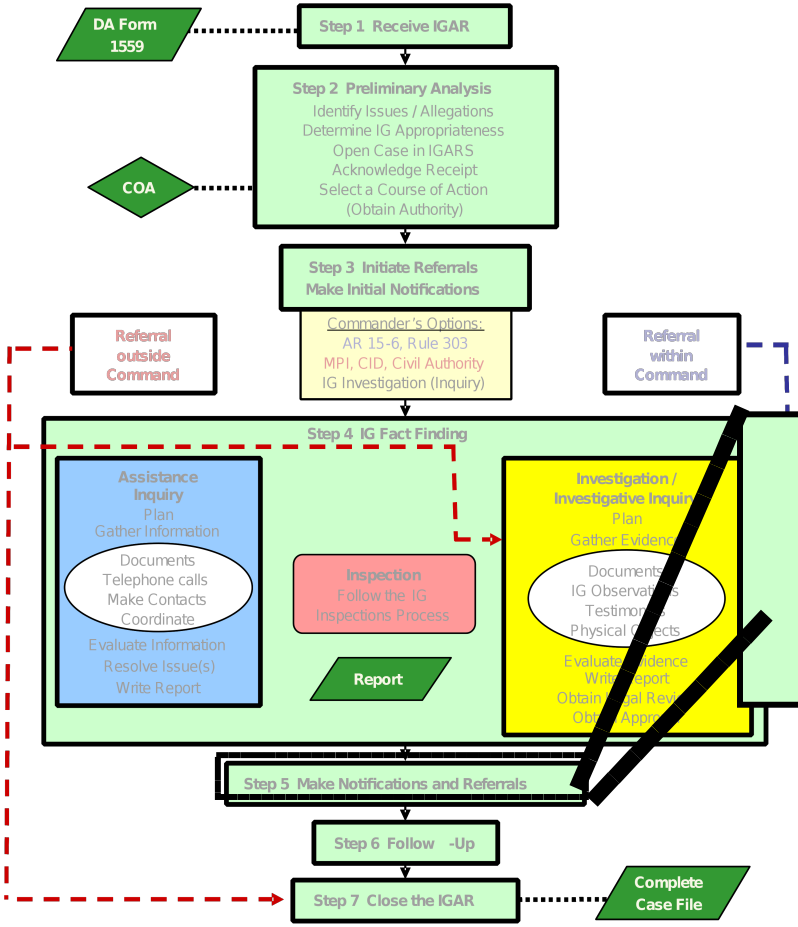
Call Fort Von Steuben (FVS) Transportation Office:

SPC Stough's household goods just arrived and should be delivered by end of next week.

The Seven-Step IGAP
Step Five

ELO

Assistance Part 1



Step 5 Make Notifications and Referrals

AR 20-1, para. 4-9, 7-2b (5)

A&I Guide, Sect. 2-6

Assistance Part 1

STEP 5: Make Notifications of Results

- **If IG provided assistance, provide the complainant information pertaining directly to him / her.**
- **Remember third-party and Privacy Act rules!**
- **Notifications need to be annotated in case notes in IGARS database**
- **More during Investigations**

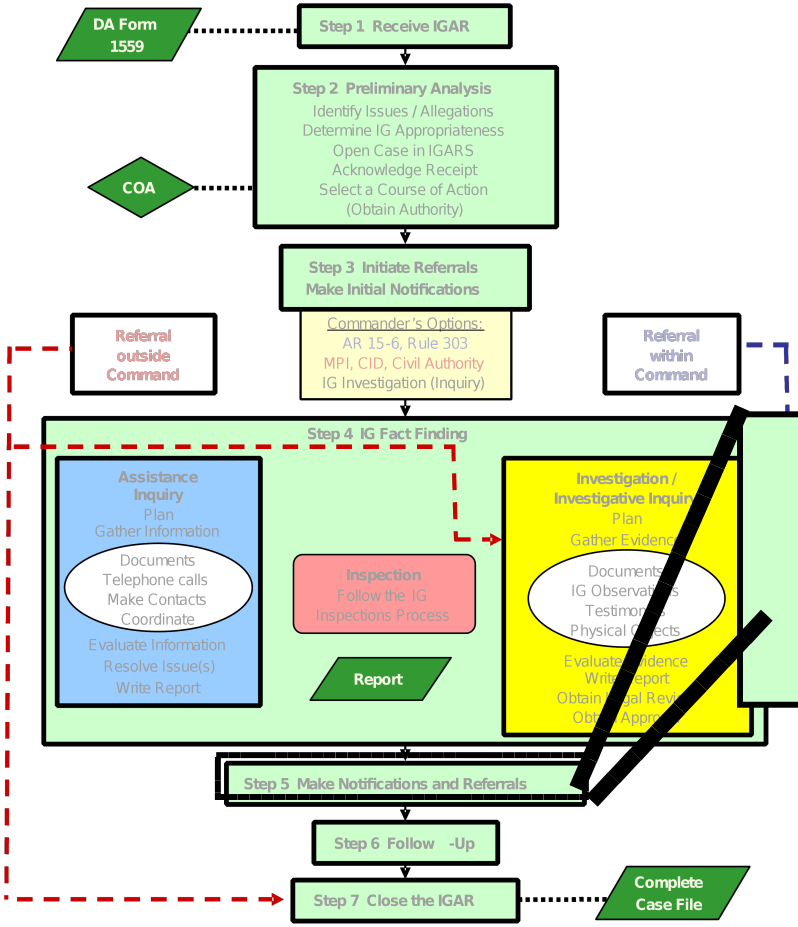
AR 20-1, para. 4-9, 7-2b (5)

A&I Guide, Sect. 2-6

The Seven-Step IGAP
Step Five

ELO

Assistance Part 1



Step 5 Make Notifications and Referrals

AR 20-1, para. 4-9, 7-2b (5)

A&I Guide, Sect. 2-6

Assistance Part 1

Practical Exercise - Stough
STEP 5: Make Notifications

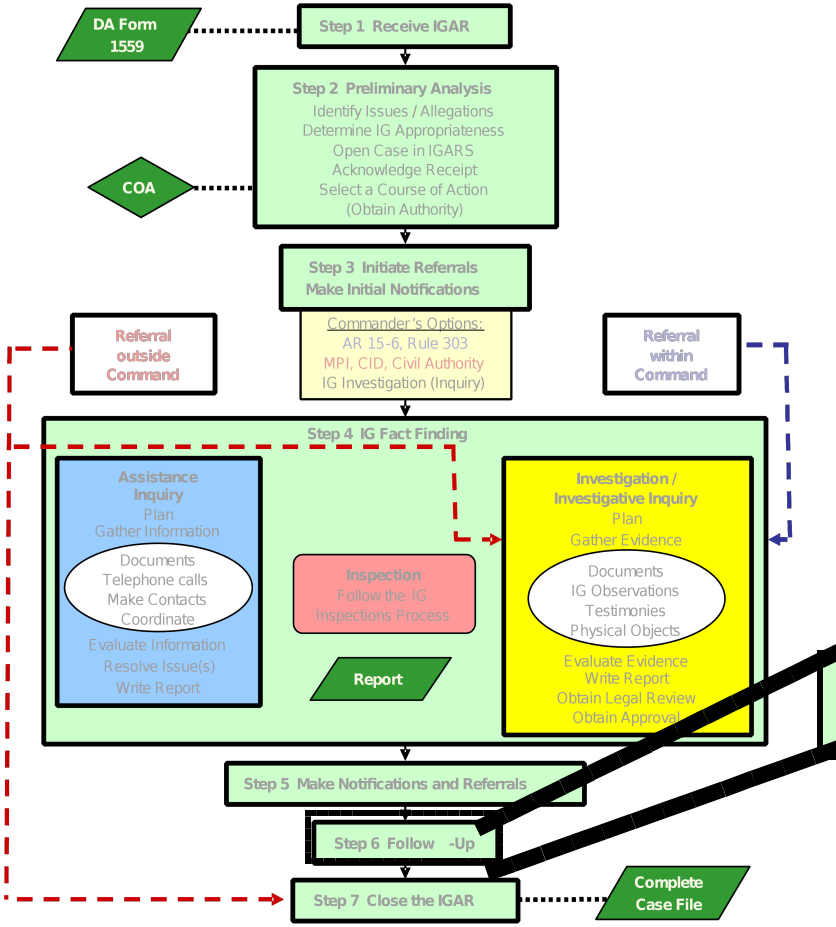
Call SPC Stough:

Household goods just arrived and should be delivered by the end of next week.

The Seven-Step IGAP
Step Six

ELO

Assistance Part 1



Step 6 Follow-Up

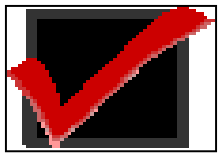
AR 20-1, para. 4-10, 7-2b (6)

A&S Guide, Sect. 2-7

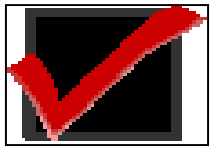
STEP 6: Conduct Follow-up

Assistance Part 1

- **IG can contact complainant, the complainant can contact the IG, or the IG can address in a future inspection**



Ensure issues were thoroughly addressed



Ensure all IG responsibilities are fulfilled

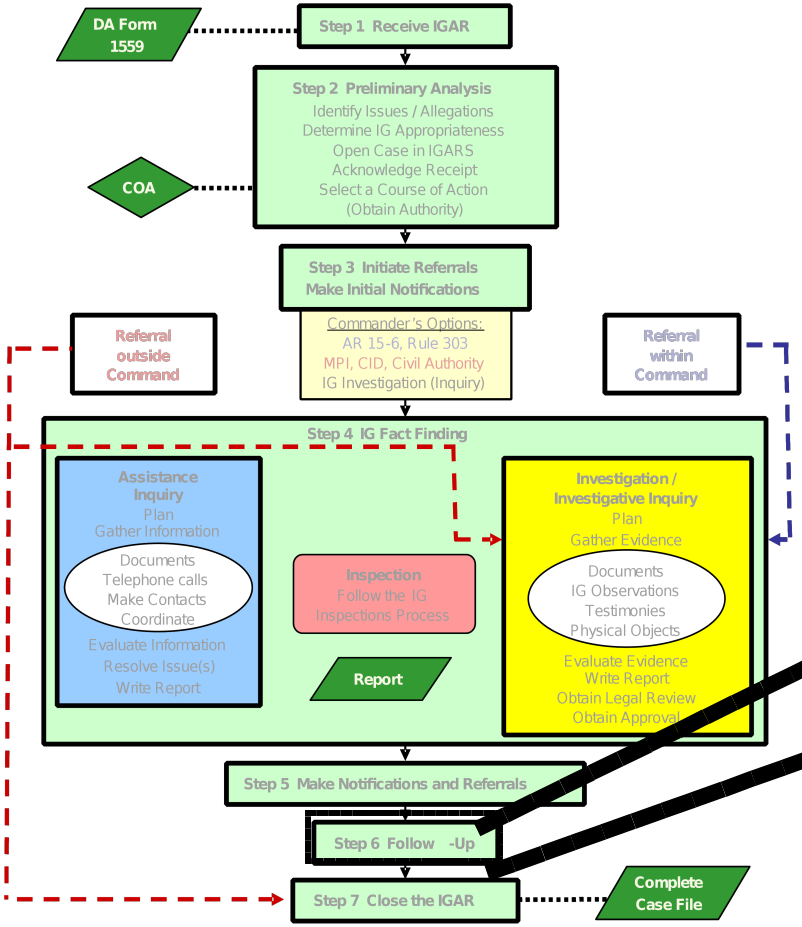
AR 20-1, para. 4-10, 7-2b (6)

A&I Guide, Sect. 2-7

The Seven-Step IGAP
Step Six

ELO

Assistance Part 1



Step 6 Follow-Up

AR 20-1, para. 4-10, 7-2b (6)

A&S Guide, Sect. 2-7

Assistance Part 1

Practical Exercise - Stough
STEP 6: Conduct Follow-up

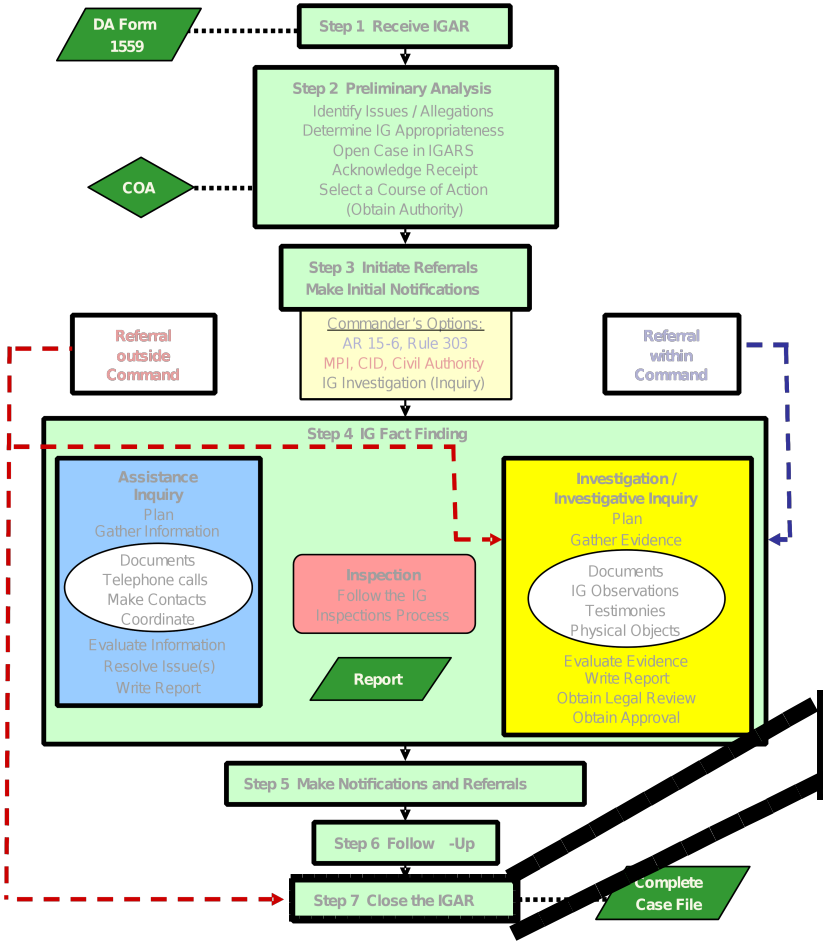
Call SPC Stough to see if household goods were delivered.

- **Ensure issues were thoroughly addressed**
- **Ensure all IG responsibilities are fulfilled**

The Seven-Step IGAP
Step Seven

ELO

Assistance Part 1



Step 7 Close the IGAR

AR 20-1, para. 4-11, 7-2b (7)

A&S Guide, Sect. 2-8

STEP 7: Close the IGAR

Assistance Part 1

1. **Provide complainant a final reply**
2. **Close the file in IGARS database**
3. **Make appropriate reports**
4. **Analyze developing trends**

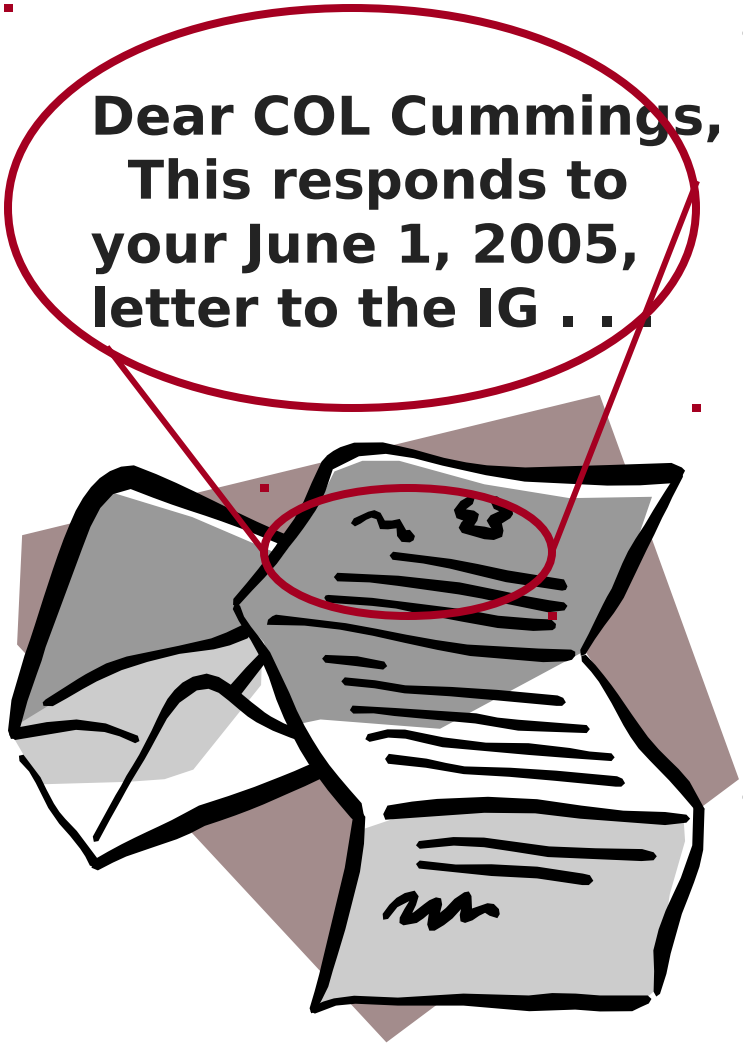
AR 20-1, para. 4-11, 7-2b (7)

A&I Guide, Sect. 2-8

STEP 7 – Close the IGAR

Final Reply to Complainant

Assistance Part 1



- **Prepare a response to the complainant:**
  - **Address the complaint**
  - **Summarize the facts and conclusions that pertain to the complainant**
  - **Maintain confidentiality**
- **Annotate in IGARS case file**

AR 20-1, para. 7-2b (
A&I Guide, Sect. 2-8-

STEP 7: Close the IGAR

Final Reply to Complainant

- **Replies normally will <u>not</u> contain:**
  - **Classified information**
  - **Information / documents from outside agencies without their permission**
  - **Identity of sources or techniques used**
  - **All information surfaced**
  - **Results of disciplinary action**
  - **Information that violates privacy of others**

STEP 7: Close the IGAR

Final Reply to Complainant

Assistance Part 1

- **Third-party complaint**
  - **Privacy Act release**
  - **No right to know results if the issues do not directly pertain to complainant.**

PRIVACY ACT INFORMATION RELEASE FORM

I, SGT Ami Fearless, SSN 000-00-000, authorize access or release of any Inspector General records pertaining to me to Mom and Dad.

2 Jun 05	***SGT Ami Fearless***
Date	**Signature**
2 Jun 05	***CPT Eye Saw***
Date	**Witness**

STEP 7: Close the IGAR

Close the File in IGARS

Assistance Part 1

- **Function code that best describes each issue or allegation**
  - **Be as specific as possible**
  - **Accurate entries make the database useful and the information gleaned from it meaningful**
- **Agency / Command Codes**
  - **Location of the allegation, issue, or complaint**
  - **If your CG <u>can't fix</u> it, don't use your command code**

AR 20-1, para. 7-2b (7)
A&I Guide, Sect. 2-8-2, 2

Assistance Part 1

STEP 7: Close the IGAR

Close the File in IGARS

- **Determination Codes: A S N**
  - ➢ **Issues use A - ASSISTANCE**
  - – **Providing advice or guidance**
  - – **IG resolves the request for assistance**
  - – **Referral to an agency other than the IG to resolve the problem**
    - **Example: A criminal complaint referred to MPI. The IG provided assistance by placing the complaint into the proper channels.**

STEP 7: Close the IGAR

Close the File in IGARS

Assistance Part 1

- **Determination Codes: A S N (cont.)**
  - **Allegations:**
    - **S - SUBSTANTIATED**
    - **Use the conclusion "substantiated" when a preponderance of credible evidence exists to <u>prove</u> the <u>allegation</u>.**
    - **N - NOT SUBSTANTIATED**
    - **Use the conclusion "not substantiated" when a preponderance of credible evidence <u>does not exist</u> to support the <u>allegation</u>.**

STEP 7: Close the IGAR

Close the File in IGARS

Assistance Part 1

Finish Case notes

- **A chronological listing of a case history used to identify fully the complainant, the allegations, issues, or assistance requested; the subject / suspect of the allegations; the actions taken in resolving the case (POCs, phone numbers, notifications, etc.); and the final outcome.**
- **Start each entry with the date and the action officer's last name, for example:**

Example of Case Notes

22 / 01 / 2007 (Britton) SPC Complaint called requesting assistance in getting household goods (HHG) delivered.

24 / 01 / 2007 (Shoulder) Called transportation to inquire into complainant's request. Mr. Barge, (703) 805-1111, informed me that the HHGs arrived yesterday and should be delivered by the end of next week.

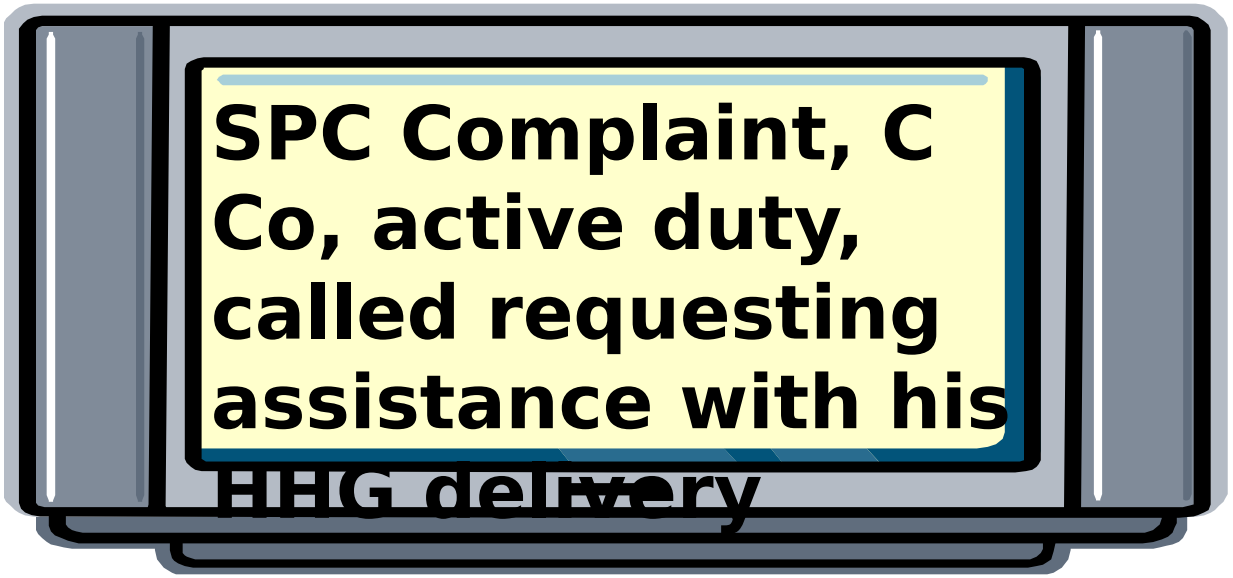
STEP 7: Close the IGAR

Close the File in IGARS

Assistance Part 1

Complete synopsis

- **Stand-alone document**
- **Who, what, when, where, and how**
- **Substantiated / not**

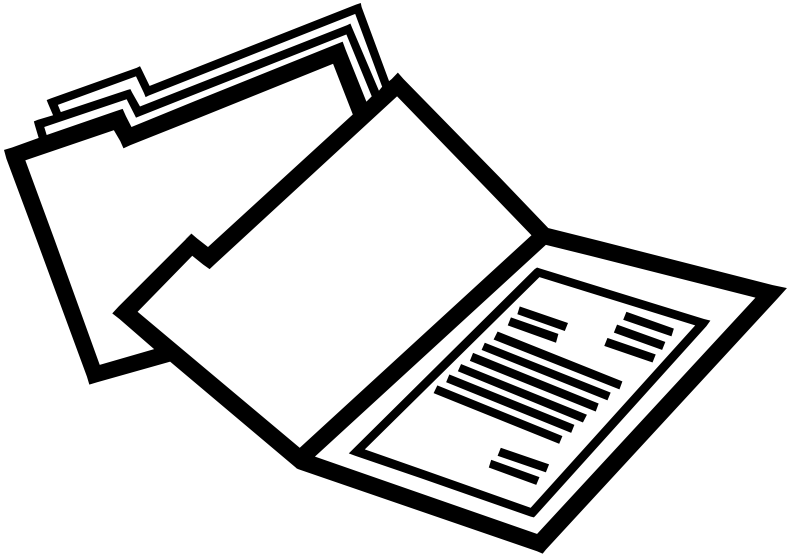


STEP 7: Close the IGAR

Make Appropriate Reports

Assistance Part 1

- **These reports are covered in your local Standing Operating Procedures (SOP)**



AR 20-1, para. 7-2b
A&I Guide, Sect. 2-8

STEP 7: Close the IGAR

IGAR Analysis

Assistance Part 1

- **Trends**
  - **Look for both positive and negative trends**
  - **Ensure all IGs are coding similar cases with same function codes**
  - **Look for seasonal trends**
- **Systemic issues**
  - **Office workload**
  - **Source of IGARs**
  - **Most frequent function codes**
  - **Most substantiated function codes**

A&I Guide, Sect. 2-8-4

STEP 7: Close the IGAR

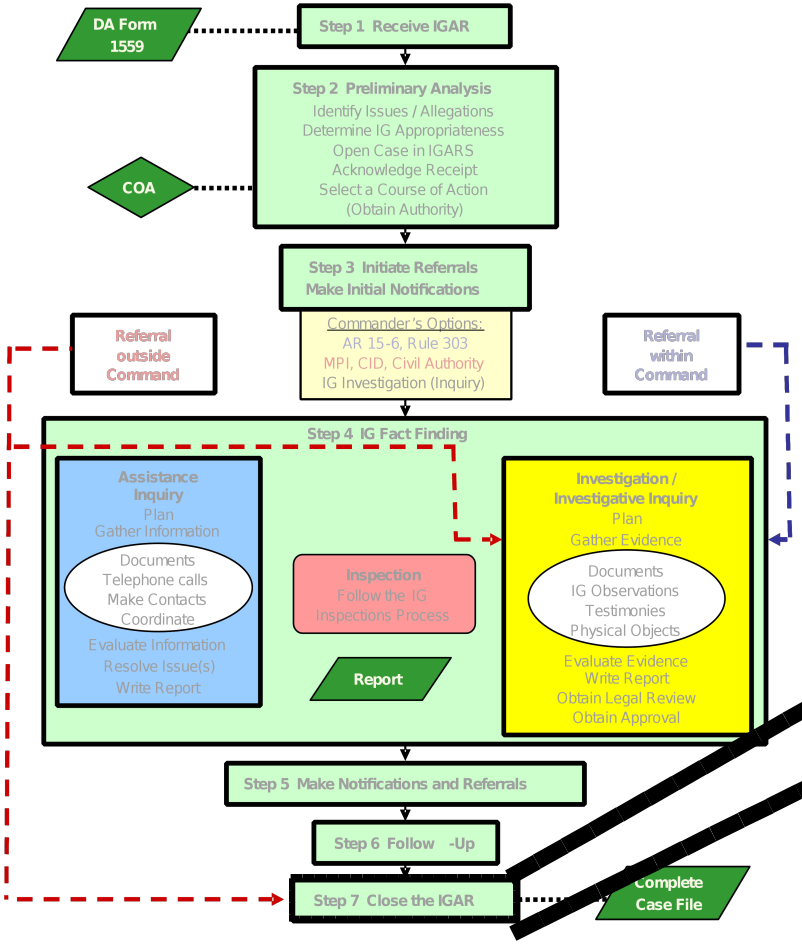
- **If complainant is not satisfied with response:**
  - **Reexamine inquiry and response for completeness at local level**
  - **Refer to next higher IG**
  - ***Don't take it personally!!***

AR 20-1, para. 4-11d

The Seven-Step IGAP
Step Seven

ELO

Assistance Part 1



Step 7 Close the IGAR

AR 20-1, para. 4-11, 7-2b (7)

A&S Guide, Sect. 2-8

Practical Exercise - Stough
STEP 7: Close the IGAR

Assistance Part 1

Send final reply See Letter

Close case in IGARS

- Function Code -- LB3 Household goods
- Determination Code -- A Assistance
- IG Command Code -- OTR Fort Von Steub
- Case Notes
- Synopsis

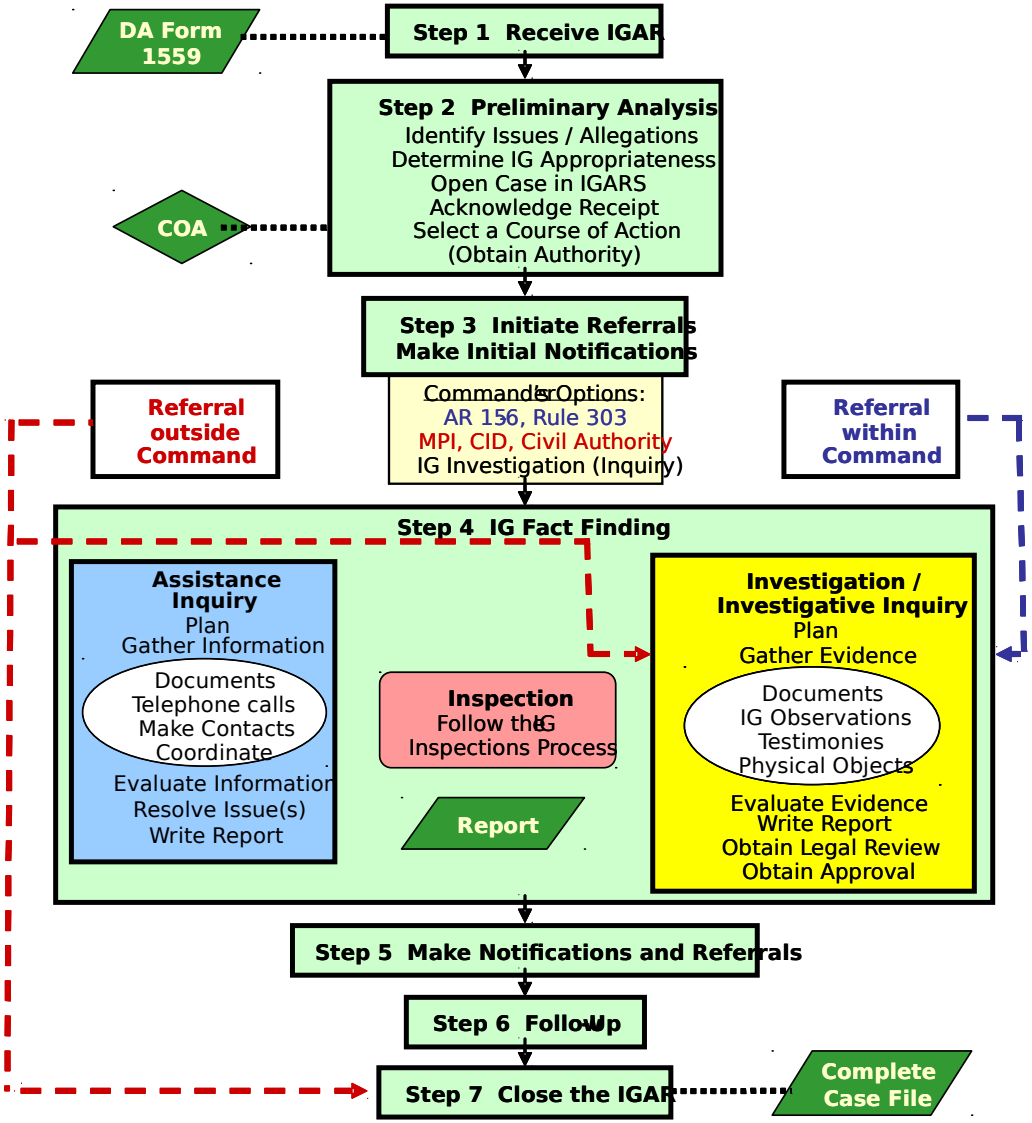
Make appropriate reports

Analyze for trends / systemic issues

Inspector General Action Process (IGAP)

Assistance Part 1

ELO



Summary

- ✓ **When referring a case to the chain of command, do we keep the case open or close the case?**
- ✓ **IG Fact-Finding consists of what four items?**
- ✓ **In Step Five, when making notification of results, what information do you provide to the complainant?**
- ✓ **In Step Six, why do we conduct follow-up?**
- ✓ **Step Seven, Close the IGAR, consists of what four items?**

Assistance Part 1

Questions?